

FORM PTO-1390  
(Rev. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
00-426TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/831424

INTERNATIONAL APPLICATION NO.  
PCT/US99/27129INTERNATIONAL FILING DATE  
16 November 1999  
(16.11.99)PRIORITY DATE CLAIMED  
16 November 1998  
(16.11.98)

## TITLE OF INVENTION

ALGINATE LAYER SYSTEM FOR CHONDROGENIC DIFFERENTIATION OF HUMAN MESENCHYMAL STEM CELLS

## APPLICANT(S) FOR DO/EO/US

KAVALKOVICH, Karl; BOYNTON, Raymond; MURPHY, Mary; BARRY, Frank

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to bring national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached herewith (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto.
  - b. ☒ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 15(d)(4).
20. ☒ Other items or information:



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PATENT TRADEMARK OFFICE

09/83142

21. ☒ The following fees are submitted:**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO and  
International Search Report not prepared by the EPO and JPO

\$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but International Search Report prepared by the EPO or JPO

\$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO

\$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4)

\$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4)

\$100.00

**CALCULATIONS PTO USE ONLY**

JC08 Rec'd PCT/PTO 07 MAY 2001

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

## CLAIMS

## NUMBER FILED

## NUMBER EXTRA

## RATE

\$

Total Claims

11 - 20 =

0

X \$18.00

\$

Independent Claims

6 - 3 =

3

X \$80.00

\$

240.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$270.00

\$

**TOTAL OF ABOVE CALCULATIONS**

=

\$ 1,100.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated  
above are reduced by 1/2

\$

550.00

**SUBTOTAL**

=

\$ 550.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE**

=

\$ 550.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

\$

**TOTAL FEES ENCLOSED =**

\$ 550.00

Amount to be  
refunded:  
charged:

\$

\$

- a. ☒ A Check No. **4793** in the amount of **\$550.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. **03-0678** in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. **03-0678**. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit Card**  
**information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Raymond J. Lillie, Esq.  
Carella, Byrne, Bain, Gilfillan, Cecchi, Stewart & Olstein  
6 Becker Farm Road  
Roseland, New Jersey 07068



SIGNATURE

Raymond J. Lillie

NAME

31,778

EXPRESS MAIL LABEL NO. EL680646401US

REGISTRATION NUMBER

DATE: May 7, 2001